



SECTOR

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2 Application Serial No 09/621,946
Filing Date 7/24/2000
3 Inventorship Dilip et al.
Applicant CashEdge, Inc.
4 Attorney's Docket No. CE1-001US
Title: Method and Apparatus for Analyzing Financial Data
5

TRANSMITTAL LETTER AND CERTIFICATE OF MAILING

6 To: Commissioner of Patents and Trademarks,
7 Washington, D.C. 20231
8 From: Steven R. Sponseller (Tel. 509-324-9256; Fax 509-323-8979)
Lee & Hayes, PLLC
9 421 W. Riverside Avenue, Suite 500
Spokane, WA 99201

10 The following enumerated items accompany this transmittal letter and are being submitted for the
matter identified in the above caption.

11

1. Transmittal letter including Certificate of Mailing
2. Notice to File Missing Parts of Application
3. Executed Declaration
4. Fee Transmittal
5. Check in the amount of \$1514.00
6. Return Post Card

12 Large Entity Status [] Small Entity Status [x]

13 Applicant hereby requests an extension of time in any case such an extension is necessary. The fee
should be charged to the Deposit Account indicated below.

14 The Commissioner is hereby authorized to charge payment of fees or credit overpayments to Deposit
Account No. 12-0769 in connection with any patent application filing fees under 37 CFR 1.16, and any
processing fees, including any necessary extension fees under 37 CFR 1.17.

15 Date: 3-22-01

16 By: Steven R. Sponseller
17 Steven R. Sponseller
18 Reg. No. 39,384

CERTIFICATE OF MAILING

19 I hereby certify that the items listed above as enclosed are being deposited with the U.S. Postal
Service as either first class mail, or Express Mail if the blank for Express Mail No. is completed below, in
an envelope addressed to The Commissioner of Patents and Trademarks, Washington, D.C. 20231, on the
below-indicated date. Any Express Mail No. has also been marked on the listed items.

20 Express Mail No. (if applicable) _____

21 Date: 3/23/01

22 By: Dana L. Calhoun
23 Dana L. Calhoun

O I P E

MAR 26 2001

PATENT & TRADEMARK OFFICE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/17 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 1514⁰⁰)

Complete if Known

| | |
|----------------------|------------|
| Application Number | 09/621,946 |
| Filing Date | 7/24/00 |
| First Named Inventor | D.I.P. |
| Examiner Name | |
| Group Art Unit | |
| Attorney Docket No. | CEI-0011US |

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number
12-0769Deposit Account Name
Lee Hayes PLLC

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

Check Credit card Money Order Other

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee (\$) | Fee Description | Fee Paid |
|-------------------------------|-------------------------------|-------------|---|-----------|
| 105 | 130 | 205 | 65 Surcharge - late filing fee or oath | 65 |
| 127 | 50 | 227 | 25 Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 Non-English specification | |
| 147 | 2,520 | 147 | 2,520 For filing a request for ex parte reexamination | |
| 112 | 920* | 112 | 920* Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 Extension for reply within first month | |
| 116 | 390 | 216 | 195 Extension for reply within second month | |
| 117 | 890 | 217 | 445 Extension for reply within third month | |
| 118 | 1,390 | 218 | 695 Extension for reply within fourth month | |
| 128 | 1,890 | 228 | 945 Extension for reply within fifth month | |
| 119 | 310 | 219 | 155 Notice of Appeal | |
| 120 | 310 | 220 | 155 Filing a brief in support of an appeal | |
| 121 | 270 | 221 | 135 Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 Petition to revive - unavoidable | |
| 141 | 1,240 | 241 | 620 Petition to revive - unintentional | |
| 142 | 1,240 | 242 | 620 Utility issue fee (or reissue) | |
| 143 | 440 | 243 | 220 Design issue fee | |
| 144 | 600 | 244 | 300 Plant issue fee | |
| 122 | 130 | 122 | 130 Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 Processing fee under 37 CFR 1.17(q) | |
| 126 | 180 | 126 | 180 Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 Recording each patent assignment per property (times number of properties) | |
| 146 | 710 | 246 | 355 Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 710 | 249 | 355 For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 710 | 279 | 355 Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 Request for expedited examination of a design application | |
| Other fee (specify) _____ | | | | |

SUBTOTAL (1) (\$ 355⁰⁰)

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|------------|
| 51 | -20** = | 31 X 9 = | 279 |
| 6 | - 3** = | 3 X 40 = | 120 |
| Multiple Dependent | | | = |

Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee Description |
|---------------|---------------|--|
| 103 | 18 | 203 9 Claims in excess of 20 |
| 102 | 80 | 202 40 Independent claims in excess of 3 |
| 104 | 270 | 204 135 Multiple dependent claim, if not paid |
| 109 | 80 | 209 40 ** Reissue independent claims over original patent |
| 110 | 18 | 210 9 ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 399⁰⁰)

**or number previously paid, if greater; For Reissues, see above

*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 760⁰⁰)

| | | | |
|-------------------|-----------------------------|--------------------------------------|--------|
| SUBMITTED BY | Complete if applicable | | |
| Name (Print/Type) | Steven R. Sponseller | Registration No. (Attorney/Agent) | 39,384 |
| Signature | <i>Steven R. Sponseller</i> | | |
| Date | 3-22-01 | | |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/621,946 | 07/24/2000 | Venkatachari Dilip | CE1-001US |

Steven R Sponseller
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FORMALITIES LETTER



OC000000005433177

Date Mailed: 09/28/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$792.
 - \$558 for 31 total claims over 20.
 - \$234 for 3 independent claims over 3 .
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

• The balance due by applicant is \$ 1612.

03/28/2001 CCHAU1 00000099 09621946

01 FC:218

695.00 OP

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

| | | | |
|--------|--------|--------|-------|
| 8 | 8 | 8 | 8 |
| 0 | 0 | 0 | 0 |
| 355.00 | 279.00 | 120.00 | 65.00 |

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03/28/2001 CCHAU1

| | | |
|--------|--------|--------|
| FC:201 | FC:203 | FC:202 |
| 02 | 03 | 04 |
| 05 | | |

9/27/00

PART 2 - COPY TO BE RETURNED WITH RESPONSE